

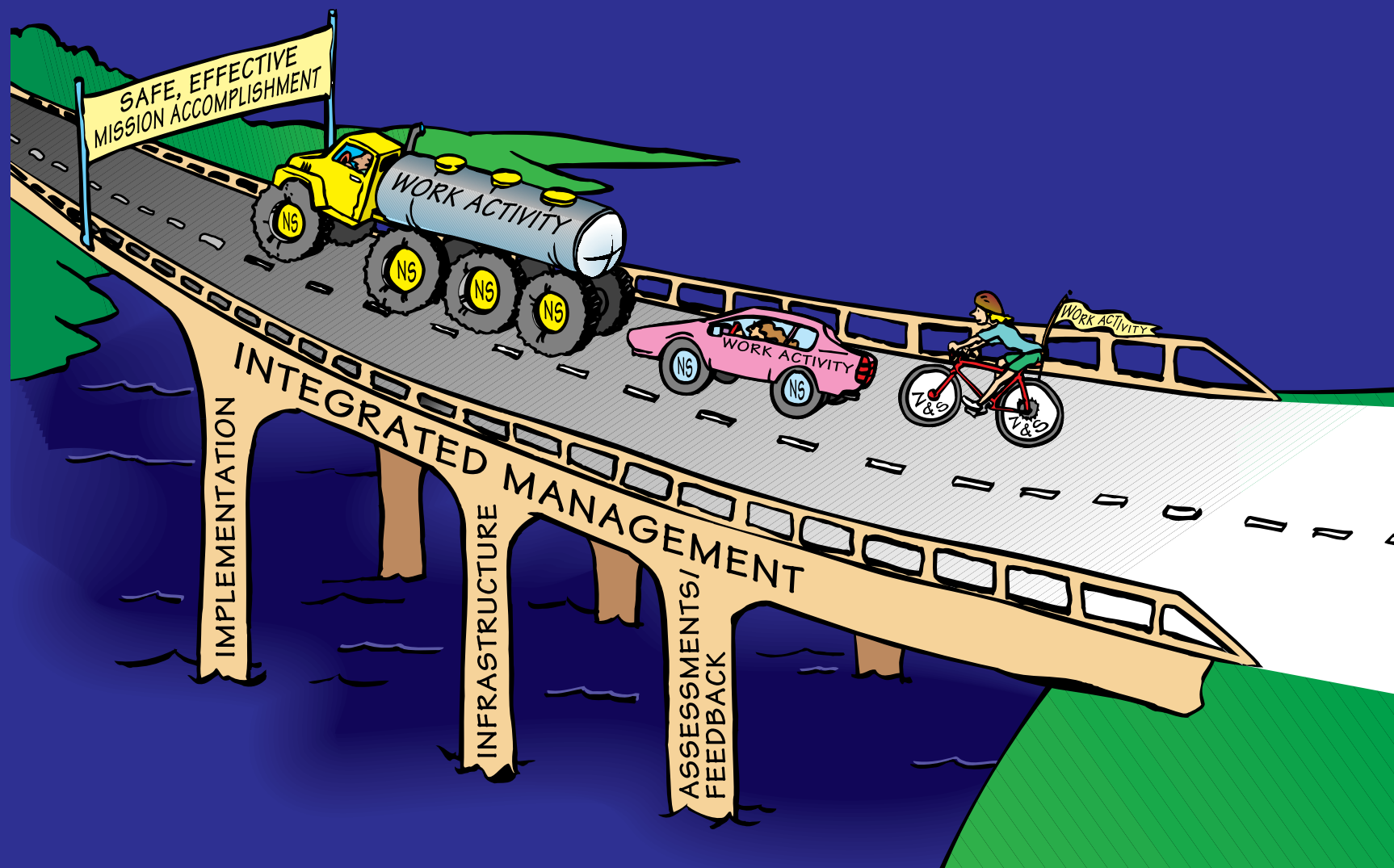
Necessary and Sufficient

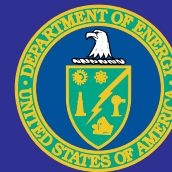
An Overview

Illustrated overheads to accompany Instructor Lesson Plan



Department of Energy Standards Based Management System

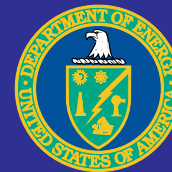




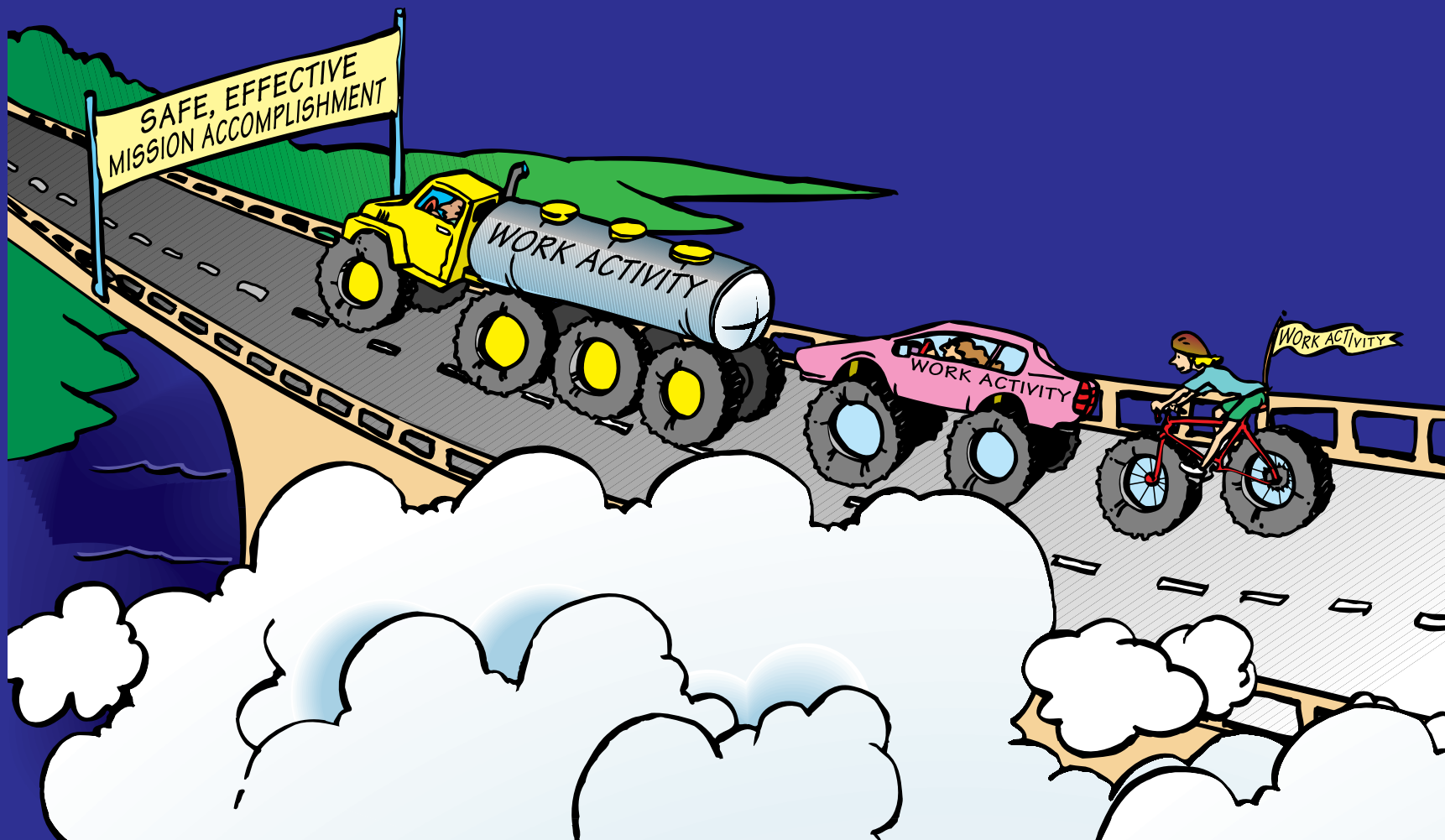
DOE's highest commitment is to ensure work is performed safely and effectively

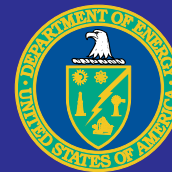
- Worker safety
- Public safety
- Environmental protection



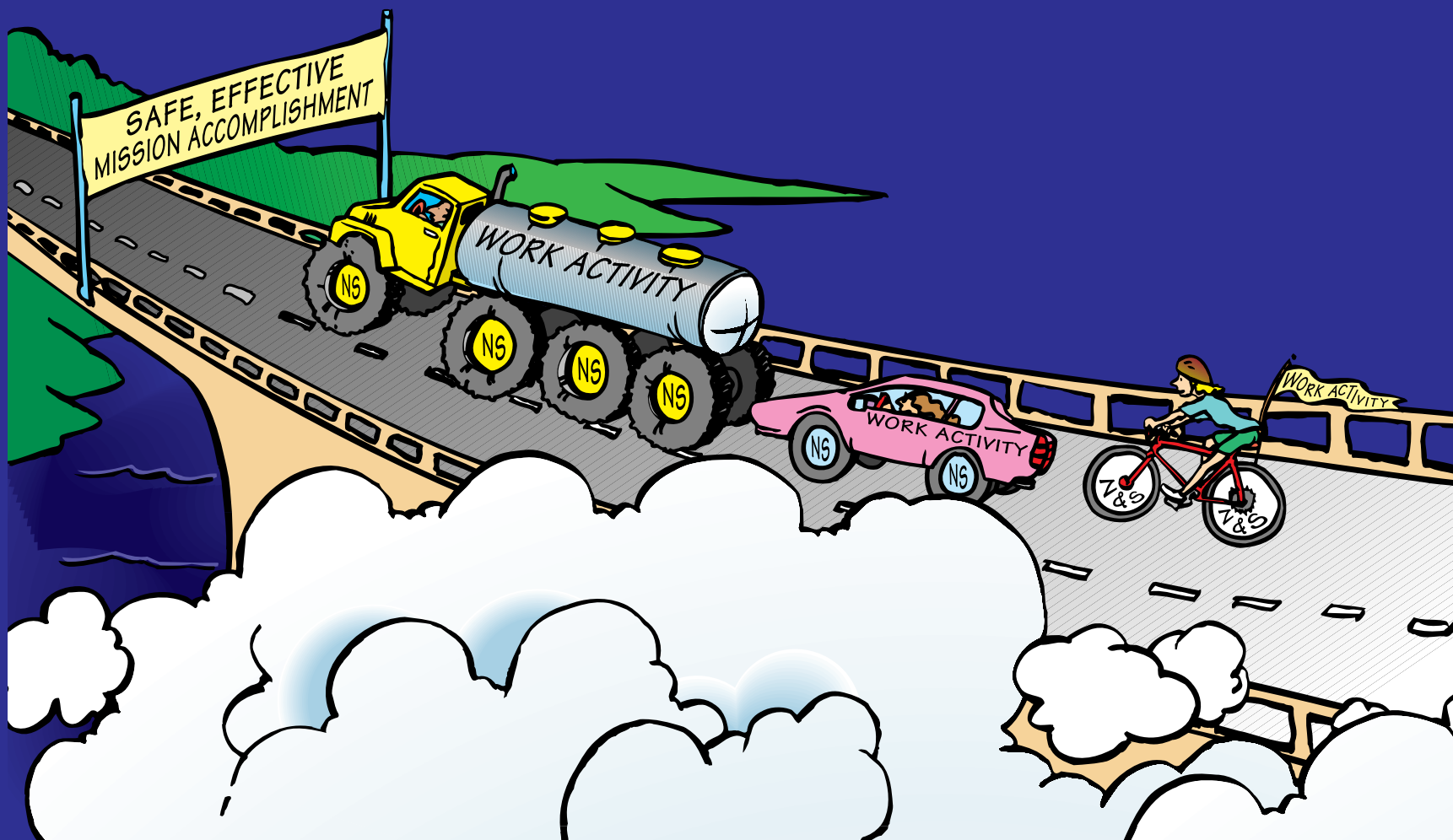


Our lack of focus on the work resulted in inappropriate sets of standards for some of our activities



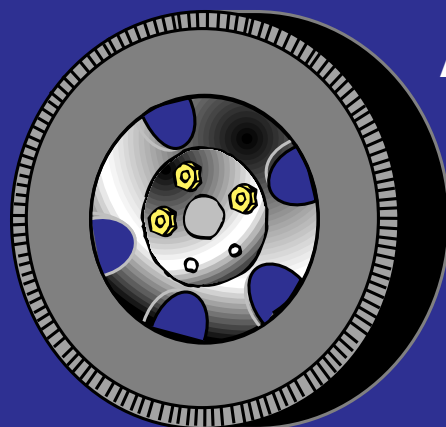


The Necessary and Sufficient process is the method that will allow you to select the appropriate set of standards to do your work

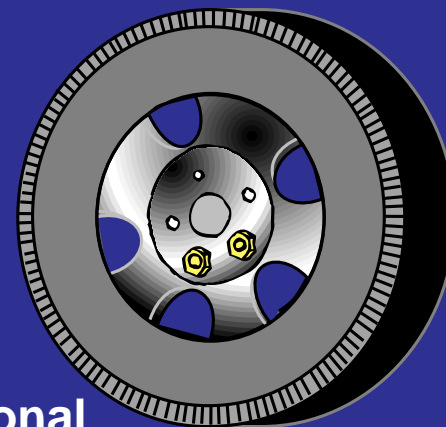




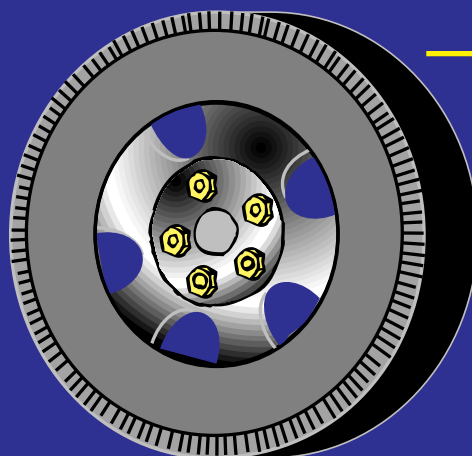
The Necessary and Sufficient process results in the “set” of standards needed to provide adequate protection



Applicable federal, state, and local laws and regulations



Those additional standards required to provide adequate protection



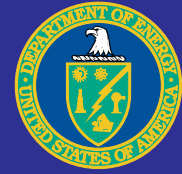
= Necessary and sufficient set (adequate protection)



The Necessary and Sufficient process charts the course—relying on sound management principles

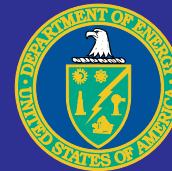
- Clear understanding of work to be performed
- Identification and consideration of hazards and uncertainties
- Up front application of appropriate expertise
- Determination of performance expectations
- Enhanced interaction among principal parties





The Necessary and Sufficient process has three major components





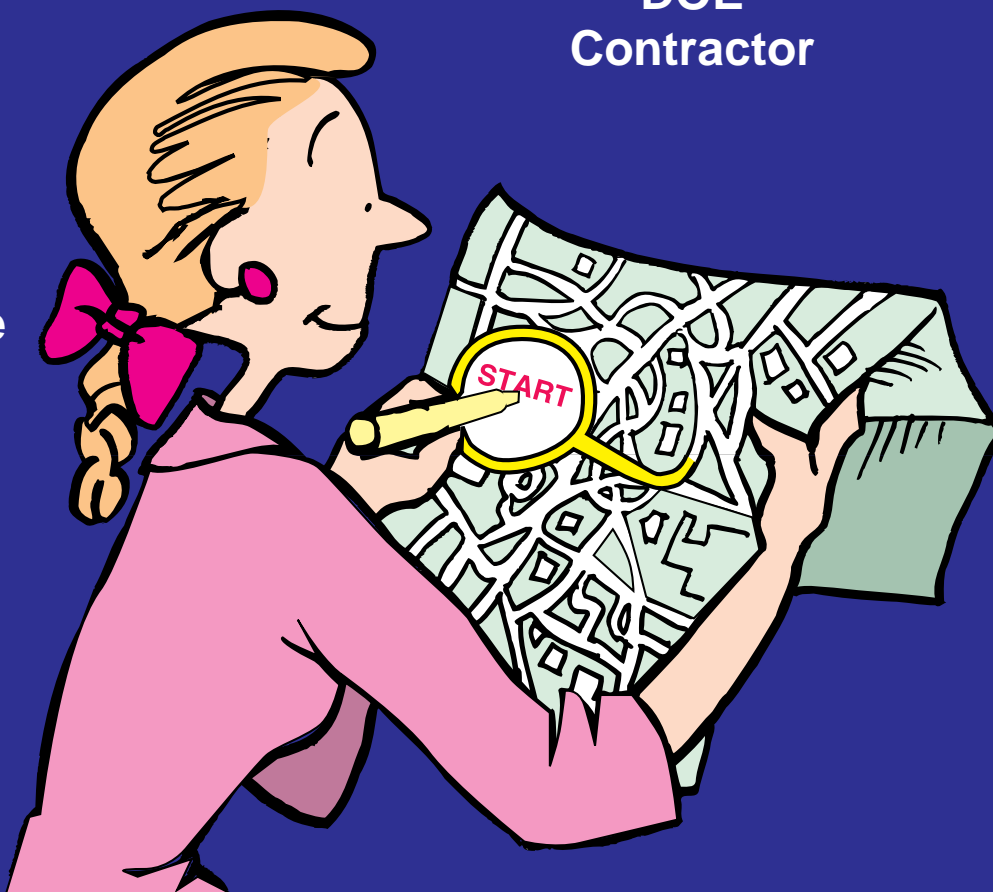
Various conditions support initiation of the Necessary and Sufficient process

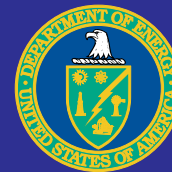
Initiating Conditions

- New facilities
- Mission changes
- Current set of standards inappropriate
- Existing set of standards demonstrated inadequate

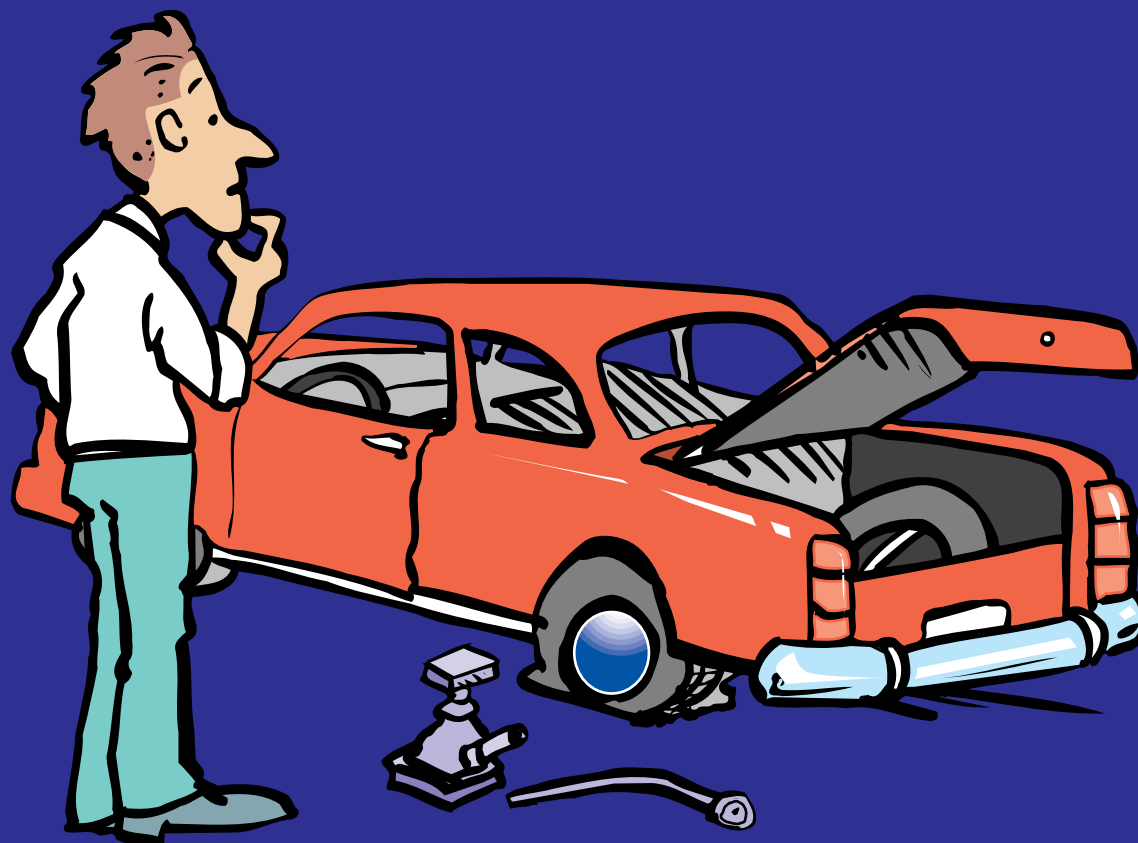
Potential Initiators

DOE
Contractor





Doing work safely and effectively begins with
an understanding of THE WORK
(including hazards, work environment, and expectations)





The complexity of our missions and activities demands a defined and disciplined process





The Convened Group determines criteria for selection of teams to identify and confirm an appropriate set of standards

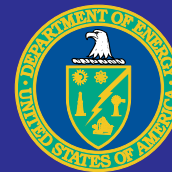
Members

Technical experts
Operational experts
Infrastructure experts
Other stakeholders

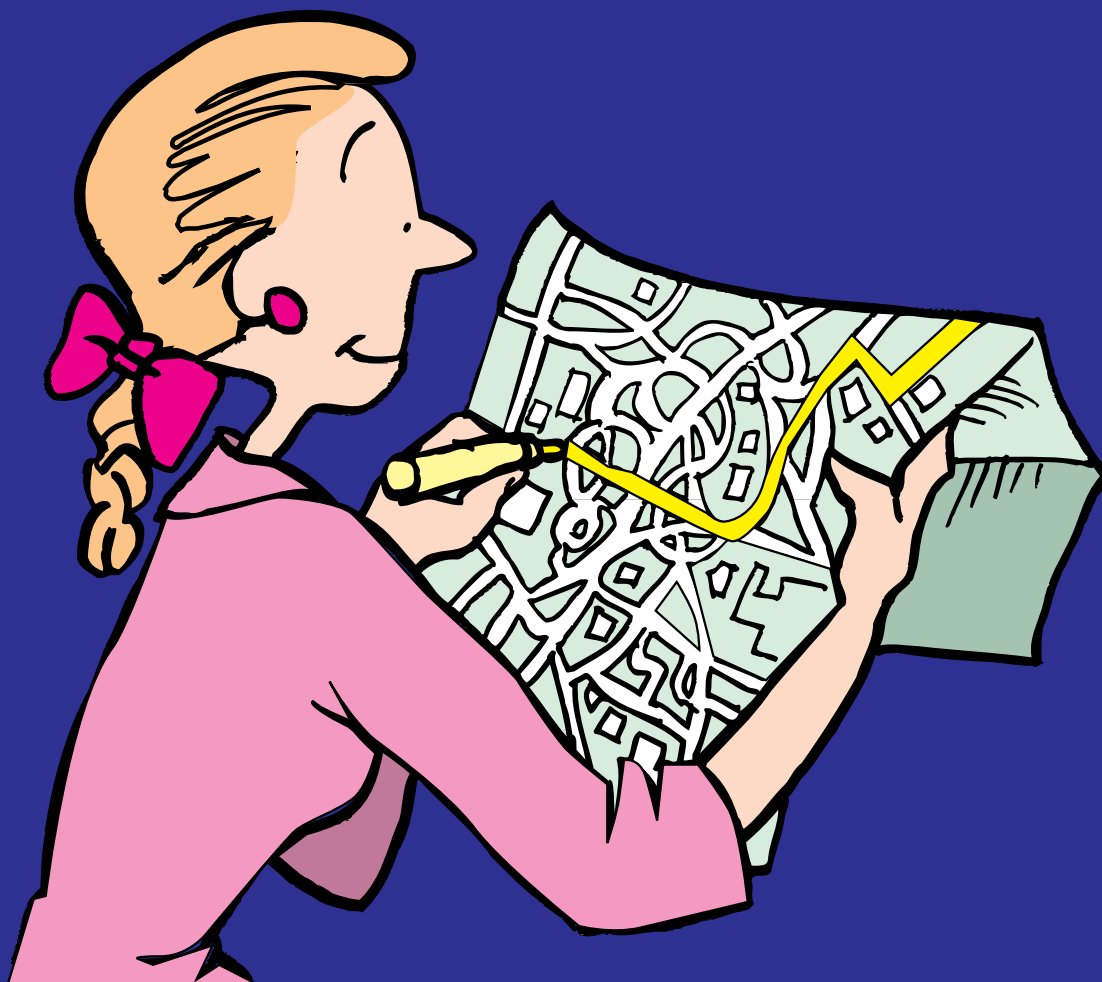
Criteria

Experience/education
Process knowledge
Regulatory expertise
Hazards expertise
Legal/administrative
expertise

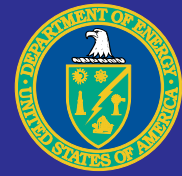




The Convened Group also defines the needed protocols and documentation



- Confirmation
- Approval
- Schedule
- Interactions
- Qualifications
- Conflict resolution
- Basis for decisions



Four minimum mandatory documentation requirements

- 
- A large, light blue, stylized number "4" is positioned in the background of the list, centered behind the four requirements.
- The set
 - The basis of acceptability of the set
 - The work and its hazards
 - Implementation assumptions necessary for closure

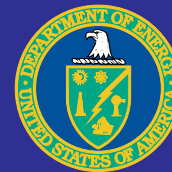


The Convened Group selects the teams to identify and confirm the appropriate set of standards

Members

Technical experts
Operational experts
Infrastructure experts
Other stakeholders





The team identifies the Necessary and Sufficient set of standards that provides an adequate level of protection





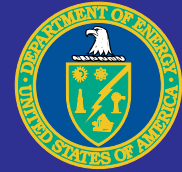
The confirmation process validates the Necessary and Sufficient set



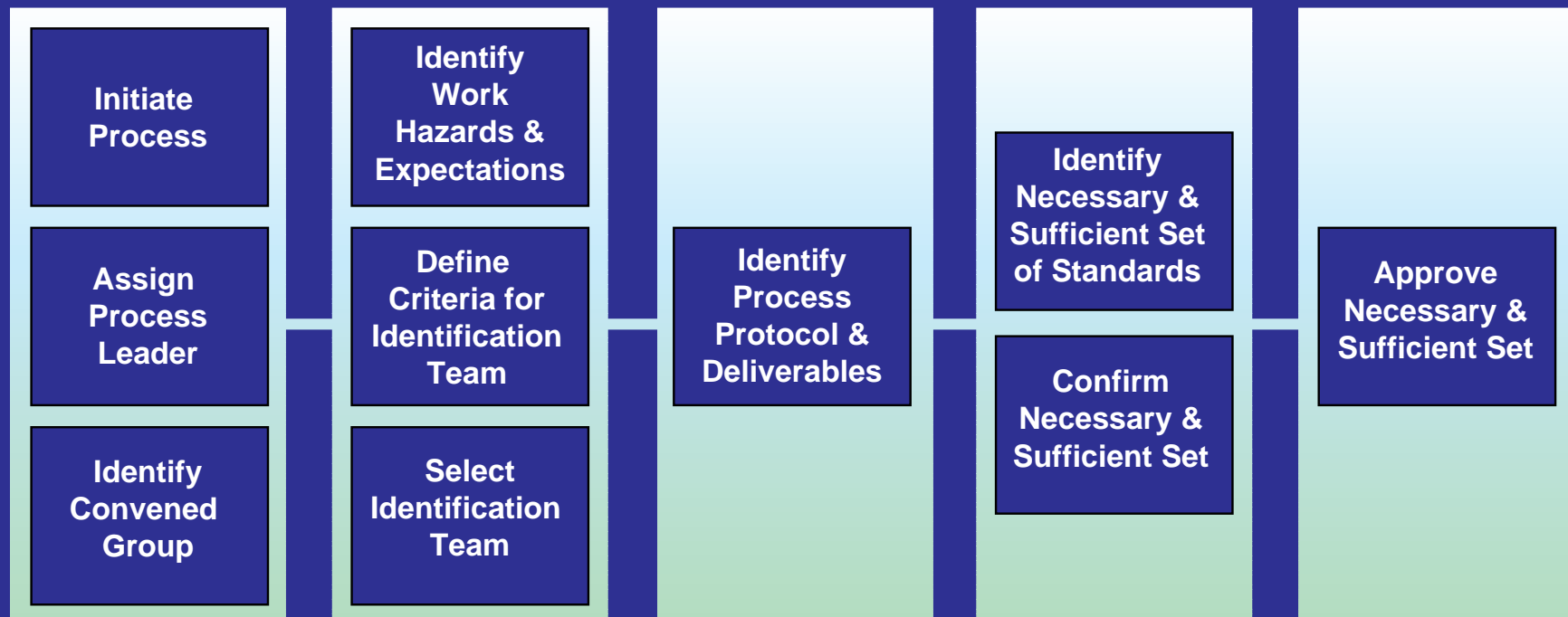


Approval is then provided consistent with the protocols





Taken together, the components of the Necessary and Sufficient process are both disciplined and dynamic

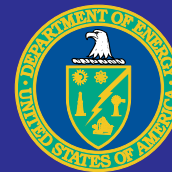




The Necessary and Sufficient process establishes the basis for safe and effective operations

- ✓ Clear understanding of work to be performed
- ✓ Identification and consideration of hazards and uncertainties
- ✓ Clearer responsibilities and ownership
- ✓ Defined performance expectations
- ✓ Technical competence
- ✓ Improved use of limited resources
- ✓ Shared expectations for performing and assessing work

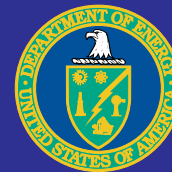




The integrity of the process determines the integrity of the product

*"If you can not defend the process,
you can not defend the product"*



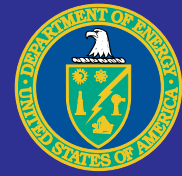


DOE and contractors are concurrently evaluating the other key components of an integrated Standards Based Management System including --- Implementation

Implementation

Work planning
Training/Procedures
Program integration
Resources and Funding
Availability of expertise

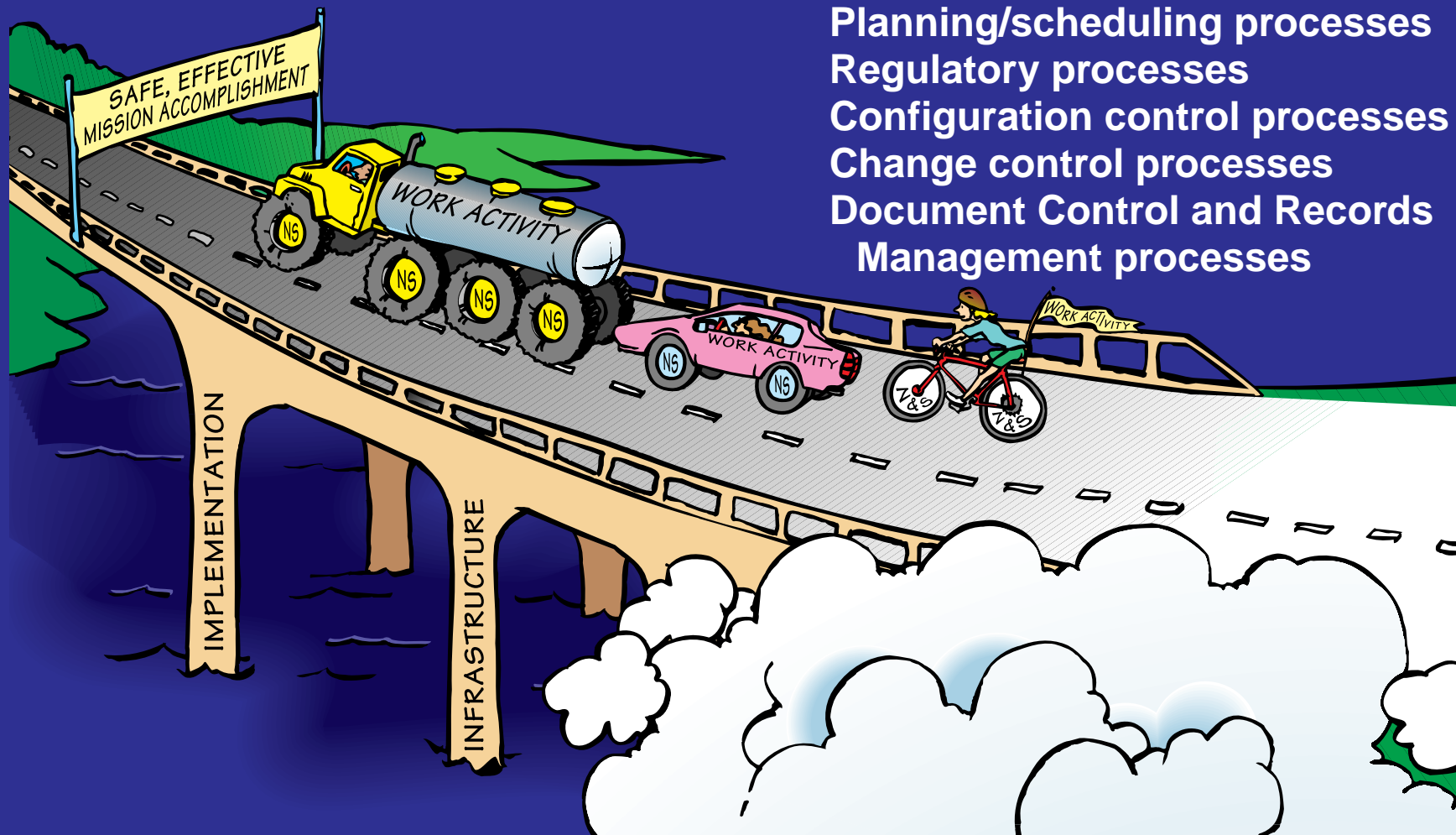




---Infrastructure

Infrastructure

Roles/Responsibilities
Planning/scheduling processes
Regulatory processes
Configuration control processes
Change control processes
Document Control and Records
Management processes

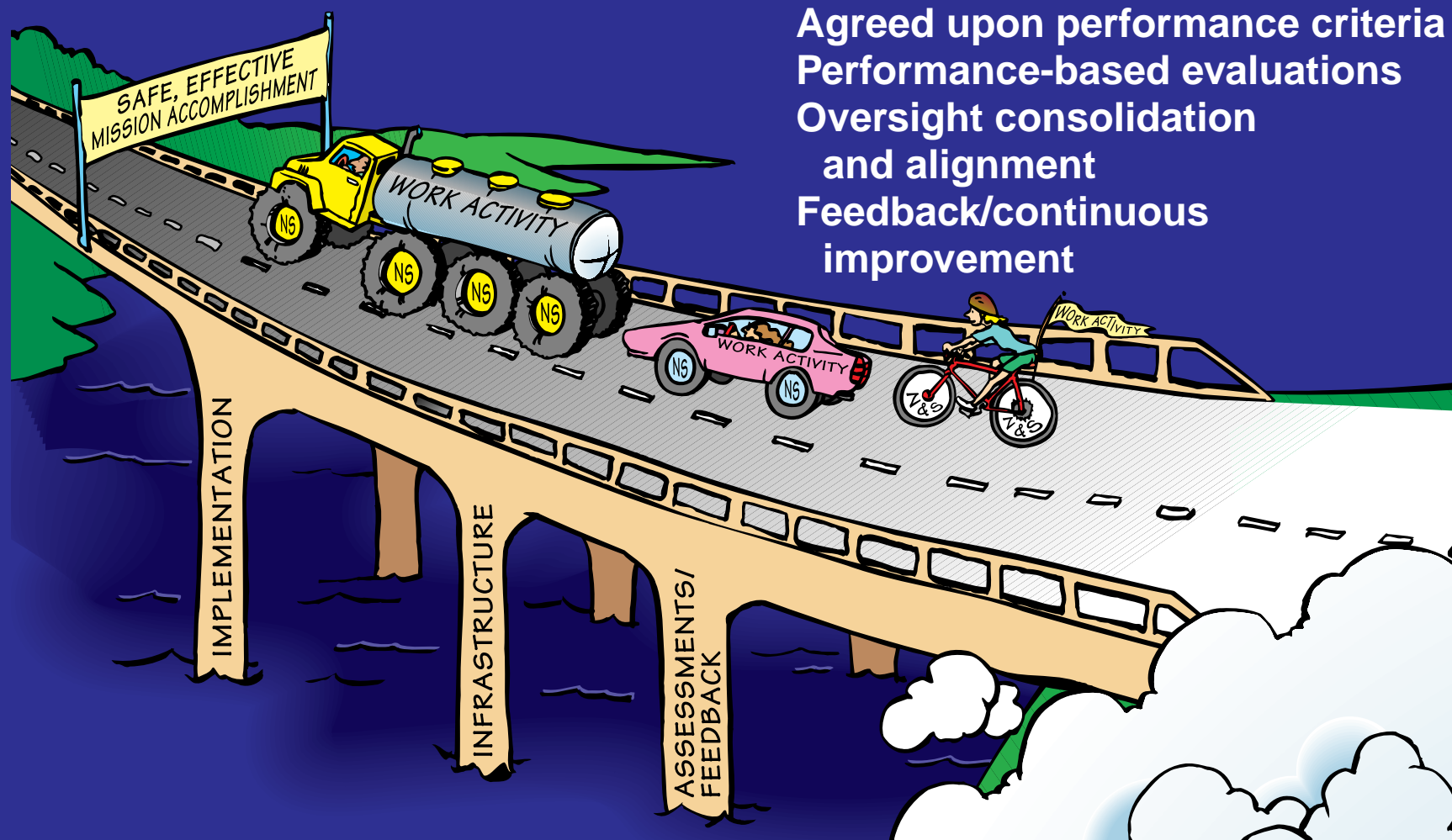


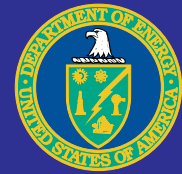


...Assessment / Feedback

Assessment

Agreed upon performance criteria
Performance-based evaluations
Oversight consolidation
and alignment
Feedback/continuous
improvement





...Integrated approach to management

Integrated Management

Ownership

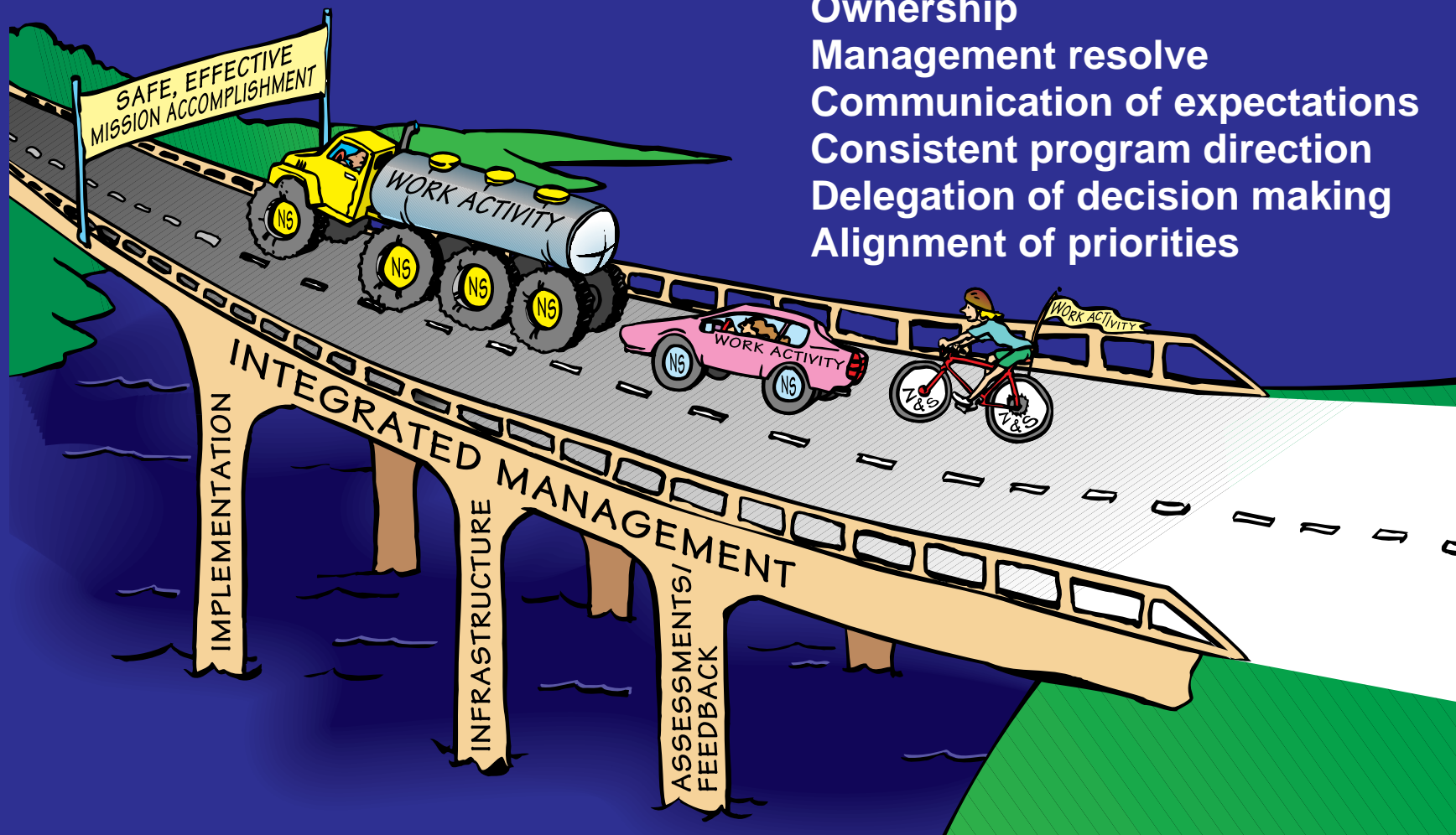
Management resolve

Communication of expectations

Consistent program direction

Delegation of decision making


Alignment of priorities



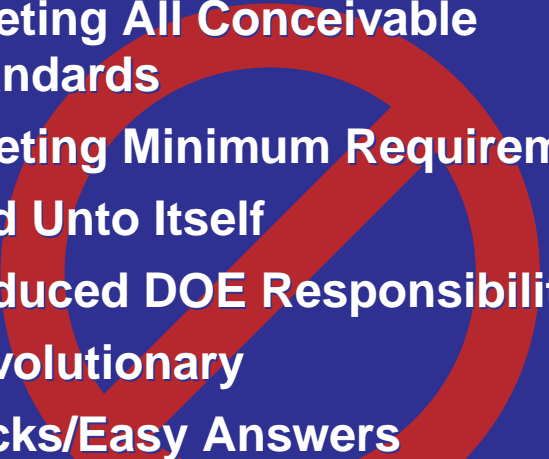


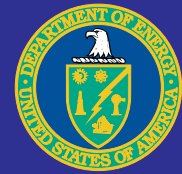
Necessary and Sufficient: What It Is and What It Isn't

What It Is

- 
- A large, stylized lightbulb graphic is positioned behind the "What It Is" list. The lightbulb has a yellow glow and a grey base with horizontal lines.
- Focuses on Work and Hazards
 - Establishes Appropriate Ownership
 - Supports Standards Based Management
 - Constructive DOE Involvement
 - Evolution of Safety Programs
 - Back to Basics
 - More effective performance at reduced costs

What It Isn't

- 
- A large, red prohibited sign (a circle with a diagonal slash) is positioned behind the "What It Isn't" list.
- Meeting All Conceivable Standards
 - Meeting Minimum Requirements
 - End Unto Itself
 - Reduced DOE Responsibility
 - Revolutionary
 - Tricks/Easy Answers



The opportunity the Necessary and Sufficient process offers is real—and here today

- **The Criteria for the Department's Standards Program issued**
- **Senior level, department-wide management involvement**
- **Necessary and Sufficient closure process adopted**
- **Pilot testing of closure process being completed**
- **Workshops being conducted**
- **Process Action Teams working next steps**



The long-term benefit we receive as stakeholders, DOE, and contractors should be clear to all of us

Safe and Effective Operation

- A process that promotes ownership, judgment, and accountability
- Fuller appreciation and consideration of hazards and uncertainties of our work
- An appropriate set of standards
- A consistent set of expectations used in planning, performing, and assessing work
- The end of a “one size fits all” approach
- Strengthened working relationships among DOE, contractors, and stakeholders
- A defensible, documentable approach to doing business
- Increased work effectiveness at reduced cost

